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Date June 29, 2005 Client-Matter 74622-020

Fax Transmittal

Total Pages (Including Cover) 3

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Company: United States Patent and Trademark Office - Group Art Unit 3624 Voice No.: (571)272-6748

Message

Re: Inventor : Lawrence P. Shields, et al.
Serial No. : 10/003,613
Filing Date : November 2, 2001
Title : SYSTEM AND METHOD FOR IMPLEMENTING EMPLOYEE STOCK
PLANS
Att'y Docket : 74622-0020

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

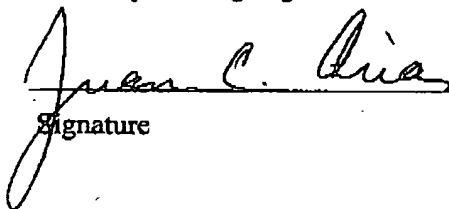
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM	Application Number	10/003,013	
	Filing Date	November 2, 2001	
	First Named Inventor	Lawrence P. Shickdo	
	Title	SYSTEM AND METHOD FOR IMPLEMENTING EMPLOYEE STOCK PLANS	
	Art Unit	3624	
	Examiner Name	JAGDISH PATEL	
	Attorney Docket Number	74622-020	

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I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(d) is enclosed. (Form PTO/SB/01)

SIGNATURE of Applicant or Assignee of Record

Signature	Date
	6/22/05
Name	Telephone
Gregg I. Goldman	203.719.3099
Title and Company	
Director and Senior Counsel, UBS Financial Services, Inc.	

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ Total of _____ forms are submitted.

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STATEMENT UNDER 37 CFR 3.73(b)**Lawrence P. Shields, et al.**

Applicant/Patent Owner: _____

Application No./Patent No.: 10/003,613 Filed/Issue Date: November 2, 2001Entitled: **SYSTEM AND METHOD FOR IMPLEMENTING EMPLOYEE STOCK PLANS**

UBS Financial Services, Inc. a Corporation
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

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- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Grigg I. Goldman
 Signature
Grigg I. Goldman
 Printed or Typed Name

6/22/05
 Date
203 719 3099
 Telephone Number

Director and Senior Counsel, UBS Financial Services, Inc.
 Title

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